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Subsidiary Body for Scientific and Technological Advice

Thirty-ninth session

Warsaw, 11–16 November 2013

Item 7(a) of the provisional agenda

**Development and transfer of technologies and
implementation of the Technology Mechanism**

**Joint annual report of the Technology Executive Committee
and the Climate Technology Centre and Network**

Subsidiary Body for Implementation

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and the Climate Technology Centre and Network**

Joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network for 2013

Summary

This report covers the activities and performance of the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN) in 2013. It includes a joint chapter of the TEC and the CTCN on the operationalization of the Technology Mechanism, as well as separate chapters for each of the two bodies. The report of the TEC outlines the performance of the activities of the TEC in 2013, conducted in accordance with its rolling workplan for 2012–2013, and includes key messages for the Conference of the Parties (COP) at its nineteenth session. It covers the outcomes of the 5th, 6th and 7th meetings of the TEC and its intersessional work. The report of the CTCN describes the activities and performance of the CTCN in 2013, including in response to mandates provided by the COP. It covers the 1st and 2nd meetings and intersessional work of the Advisory Board of the CTCN and also includes an update provided by the United Nations Environment Programme on matters regarding its role as the host of the Climate Technology Centre.

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I. Introduction

A. Mandate

1. The Conference of the Parties (COP), by decision 1/CP.16,¹ decided that the Technology Executive Committee (TEC) and the Climate Technology Centre and Network (CTCN) shall report, on an interim basis and without prejudice to the relationship between the TEC and the CTCN, to the COP, through the subsidiary bodies, on their respective activities and on the performance of their respective functions.

2. In addition, the COP, by decision 14/CP.18,² requested the Climate Technology Centre (CTC) to consult with the TEC on establishing procedures for preparing a joint annual report as requested by decision 2/CP.17, with a view to making their joint annual report available to the COP through the subsidiary bodies at their thirty-ninth sessions.

B. Procedures for preparing the joint annual report

3. In response to that request, and following intersessional consultations between the Chair and Vice-Chair of the TEC and the Chair and Vice-Chair of the Advisory Board of the CTCN (hereinafter referred to as the Advisory Board), the two bodies agreed on the following procedures for preparing the joint annual report:

(a) It should be a single document covering three sections:

(i) Joint chapter of the TEC and the CTCN;

(ii) Report of the TEC;

(iii) Report of the CTCN;

(b) It should be completed in a timely manner and not exceed the word limit of the UNFCCC, in order to ensure its translation into all six official United Nations languages;

(c) The Chair and Vice-Chair of the TEC and the Chair and Vice-Chair of the Advisory Board are to prepare and finalize the joint chapter of the report, taking into account any comments received from members of the TEC and the Advisory Board.

C. Scope of the note

4. This report contains:

(a) A joint chapter of the TEC and the CTCN on the operationalization of the Technology Mechanism;

(b) Information on the activities and performance of the TEC in 2013, conducted in accordance with its rolling workplan for 2012–2013, and key messages for COP 19. It covers the outcomes of the 5th, 6th and 7th meetings of the TEC and intersessional work undertaken by it;

(c) Information on the activities and performance of the CTCN in 2013, including in response to mandates provided by the COP. It covers the 1st and 2nd meetings

¹ Decision 1/CP.16, paragraph 126.

² Decision 14/CP.18, paragraph 11.

and intersessional work of the Advisory Board and also includes an update provided by the United Nations Environment Programme (UNEP) on matters regarding its role as the host of the CTC.

D. Possible action by the subsidiary bodies

5. The Subsidiary Body for Scientific and Technological Advice and the Subsidiary Body for Implementation may wish to consider the joint annual report of the TEC and the CTCN for 2013 and recommend any guidance on further action to be taken by the TEC and/or the CTCN, for consideration and adoption by COP 19, as appropriate.

II. Joint chapter of the Technology Executive Committee and the Climate Technology Centre and Network on the operationalization of the Technology Mechanism

6. At COP 16, Parties acknowledged the importance of accelerating the development and transfer of environmentally sound technologies for all countries by establishing the Technology Mechanism, which is composed of two distinct yet highly complementary bodies: the TEC and the CTCN. The Technology Mechanism is intended to facilitate the implementation of enhanced action on technology development and transfer to support action on mitigation and adaptation in order to achieve the full implementation of the Convention. The TEC and the CTCN were requested by the COP to report annually to it, through the subsidiary bodies, by means of a joint annual report. This is the first such report.

7. The Technology Mechanism was established to respond to the entire spectrum of needs and operational challenges of technology development and transfer. The TEC is mandated to respond to Parties' needs in a range of ways in accordance with its functions as referred to in the Cancun Agreements.³

8. Attendant to the policy and strategic guidance provided by the TEC, the objectives that were set by the COP for the CTCN focus on the practical implementation of that guidance. The stated mission of the CTCN is to stimulate technology cooperation and to enhance the development and transfer of technologies and to assist developing country Parties at their request, consistent with their respective national circumstances and priorities, to build or strengthen their capacity to identify technology needs and to facilitate the preparation and implementation of their technology projects and strategies to support actions on mitigation and adaptation and enhance low-emission and climate-resilient development. Additional information on the mission and activities of the CTCN is provided in chapter IV below.

9. Both components of the Technology Mechanism are now in operation, although they are at different stages of development. The TEC was the first component to become operational, beginning with its inaugural meeting in Bonn, Germany, in September 2011. The CTCN, because of its more complicated structure and operational architecture, started its activities more recently, beginning in early 2013 when the memorandum of understanding (MOU) between the COP and UNEP was signed regarding the hosting of the CTC. Despite the differences in organizational maturation, the two components have accomplished much, both individually and jointly. The individual accomplishments of the respective components of the Technology Mechanism are detailed in their own chapters below.

³ Decision 1/CP.16, paragraph 121.

10. Jointly, the TEC and the CTCN have worked closely and productively, both formally through their respective modalities and procedures, and informally through the collective efforts of the two dedicated secretariats, as well as through a range of interactions between the TEC and the Advisory Board. Parties should be encouraged by the fact that the four entities charged with responding to guidance provided by the COP (the UNFCCC secretariat, the UNEP secretariat, the TEC and the Advisory Board) comprise a wide range of individuals committed to fulfilling the mission and objectives of the two bodies. For example, the inclusion of the Chair and Vice-Chair of the TEC on the Advisory Board has proven to be prescient. An example of a joint activity undertaken by the two bodies is the joint effort of the TEC and the CTCN to organize an in-session workshop on technology needs assessments (TNAs), held during the 7th meeting of the TEC (see chapters III and IV below for further details on the various activities of the bodies).

11. While it is early in the Technology Mechanism's development, progress to date suggests that the outcome of the United Nations Climate Change Conference in Cancun on technology development and transfer has progressed according to the guidance of the COP, and that Parties' objective of accelerating the rate of technology development and transfer will indeed be facilitated by the operations of the TEC and the CTCN. The details of this year's activities and accomplishments of the TEC and the CTCN provided in this report presage what lies ahead for this pioneering initiative. In future joint annual reports it is expected that a series of joint messages and recommendations will be provided on how all Parties can more effectively contribute to the common goal of the expanded diffusion and adoption of environmentally sound technologies.

12. In order to further advance the work of the Technology Mechanism, the TEC and the CTCN urge Parties to nominate their national designated entities (NDEs) as soon as possible.⁴

III. Report on the activities and performance of the Technology Executive Committee in 2013

A. Organizational matters

1. Membership issues

Election of the Chair and Vice-Chair of the Technology Executive Committee for 2013

13. The TEC, at its 5th meeting, elected Mr. Antonio Pflüger (Germany) and Mr. Gabriel Blanco (Argentina) as the Chair and Vice-Chair of the TEC for 2013, respectively. The election of the new Chair and Vice-Chair of the TEC for 2014 will be conducted at the first meeting of the TEC in 2014.

14. The TEC expresses its appreciation to Mr. Pflüger and Mr. Blanco for their effective leadership of the TEC in 2013, which has enabled the TEC to successfully implement its workplan for 2012–2013.

Nomination of new members

15. In accordance with the rules of procedure of the TEC,⁵ Parties are requested to nominate or confirm, as appropriate, 10 members of the TEC for 2014–2015 and inform the secretariat of those nominations at COP 19. A list of the current members of the TEC,

⁴ Decision 14/CP.18, paragraph 12.

⁵ Decision 4/CP.17, annex II.

including the length of their respective terms of office, is available on the UNFCCC website.⁶

2. Arrangements for future meetings of the Technology Executive Committee

16. The members of the TEC agreed that the next meeting of the TEC will be held from 4 to 6 March 2014 in Bonn, Germany.

B. Implementation of the rolling workplan of the Technology Executive Committee for 2012–2013

17. The rolling workplan of the TEC for 2012–2013⁷ aims to support Parties in enhancing and scaling up technology transfer activities under the Convention in accordance with the agreed functions of the TEC. The TEC identified a number of follow-up activities for 2013 in various areas of work, as presented in the report on its activities and performance in 2012.⁸ In addition, the TEC undertook activities in response to requests made at COP 18.

18. The TEC wishes to express its appreciation for the financial contributions provided by Parties and the active participation and support of relevant stakeholders, which have enabled it to successfully implement its 2012–2013 workplan.

1. Procedures for preparing a joint annual report of the Technology Executive Committee and the Climate Technology Centre and Network

19. COP 17 requested the TEC and the CTC to establish procedures for preparing a joint annual report. In response to that request, and following intersessional consultations between the Chairs of the TEC and the Advisory Board, the TEC developed such procedures at its 6th and 7th meetings (see paras. 1–3 above).

2. Technology needs of developing countries

20. One activity included in the rolling workplan of the TEC for 2012–2013 is the review of technology needs using various sources. The TEC, at its 5th meeting, considered the current status of implementation of the results of TNAs and the interlinkages between the TNA process and national and international climate policymaking processes, including nationally appropriate mitigation actions (NAMAs), national adaptation plans (NAPs) and low-emission development strategies. As a follow up, the TEC agreed to develop two technology briefs (hereinafter referred to as TEC briefs) on technology needs, namely on: (a) the results and success factors of TNAs; and (b) the possible integration of the TNA process with the NAMA and NAP processes.

21. The secretariat, in collaboration with the TEC, organized an in-session workshop on TNAs in conjunction with the 7th meeting of the TEC.⁹ The aims of the workshop were to: (a) share experiences and lessons learned from the TNA process; (b) identify specific needs and practical actions that could assist countries in implementing the results of their TNAs; and (c) discuss possible linkages between the TNA process and other planning tools under the Convention, such as NAMAs and NAPs. The workshop was attended by members of the TEC and the Advisory Board, TNA country coordinators and NAMA and NAP

⁶ <http://unfccc.int/files/bodies/election_and_membership/application/pdf/membership_chart.pdf>.

⁷ FCCC/SB/2012/1, annex I.

⁸ FCCC/SB/2012/2.

⁹ See <http://unfccc.int/ttclear/templates/render cms_page?s=events_workshop_IS_TNA>.

practitioners. Taking into account the outcomes of the workshop, the TEC finalized the two TEC briefs on TNAs.

3. Barriers to and enabling environments for technology development and transfer

22. The TEC, at its 6th meeting, considered and discussed the initial findings contained in a compilation and synthesis of the information contained in the second round of TNAs, with a particular focus on barriers to and enabling environments for technology development and transfer. In addition, the TEC, at its 7th meeting, considered a report¹⁰ on the two thematic dialogues on barriers and enabling environments held in 2012 as an additional source of information, with a view to identifying follow-up activities in that area as part of its future workplan.

23. COP 18 requested the TEC, in elaborating its future workplan, to initiate the exploration of issues relating to enabling environments and barriers, including the issues referred to in document FCCC/SB/2012/2, paragraph 35.¹¹ At its 7th meeting, the TEC, in response to that request, considered various possible activities that could be included in its workplan for 2014–2015, including:

- (a) Organizing a (series of) workshop(s);
- (b) Holding a call for inputs from relevant stakeholders;
- (c) Conducting a literature review on topics of relevance to the workshop(s);
- (d) Preparing (a) TEC brief(s);
- (e) Organizing (a) side event(s);
- (f) Preparing recommendations for the COP.

24. Furthermore, also at its 7th meeting, the TEC created an internal taskforce on barriers and enabling environments to identify topics for the workshop(s) to be held in 2014. In exchanging views on topics for the workshop(s), the TEC converged on the view that the first workshop will be on strengthening the national systems for innovation in developing countries, covering the entire technology cycle for environmentally sound technologies.

25. The TEC will further consider possible activities in relation to this matter as part of the finalization of its rolling workplan for 2014–2015 at its next meeting (see chapter III.C below).

4. Technology road maps

26. In accordance with its function concerning technology road maps and technology action plans,¹² the TEC developed a background paper on technology road maps, aiming to facilitate its work with regard to that function. The background paper revealed that:¹³

- (a) The roadmapping process is at least as important as the resulting road map;
- (b) There is a clear gap in technology road maps relating to adaptation technologies;

¹⁰ <http://unfccc.int/ttclear/sunsetcms/storage/contents/stored-file-20130822120401473/TEC%20-%20Report%20of%20the%20thematic%20dialogues%20on%20enablers%20and%20barriers_22Aug.pdf>.

¹¹ Decision 1/CP.18, paragraph 60.

¹² Decision 1/CP.16, paragraph 121(g).

¹³ See <<http://unfccc.int/ttclear/sunsetcms/storage/contents/stored-file-20130523140011626/TEC%20-%20background%20paper%20on%20technology%20roadmaps.pdf>>.

(c) The majority of technology road maps are produced by Parties included in Annex I to the Convention or by international organizations, with very few authored by or targeted at Parties not included in Annex I to the Convention;

(d) The vast majority of technology road maps have a national or international scope;

(e) There is a clear need for guidance in order to improve the quality of technology road maps.

27. The TEC, with the support of the secretariat, organized an expert meeting on technology road maps in conjunction with its 5th meeting.¹⁴ The aims of the expert meeting were to: (a) share good practices and lessons learned from developing and using technology road maps for mitigation and adaptation; (b) identify specific needs and actions that could assist Parties in developing and using technology road maps for adaptation; and (c) identify the potential role of the TEC and technology road maps in supporting enhanced action on adaptation to climate change. The background paper on technology road maps referred to in paragraph 26 above and the outcomes of the expert meeting were used as a basis for the TEC to develop its TEC brief on technology road maps, which proposes how to use roadmapping to facilitate the planning and implementation of technologies for mitigation and adaptation.

5. Thematic dialogue on research, development and demonstration

28. The TEC held a thematic dialogue on the research, development and demonstration of environmentally sound technologies in conjunction with its 6th meeting.¹⁵ The objectives of the thematic dialogue were to: (a) highlight issues related to the research, development and demonstration of environmentally sound technologies; (b) identify challenges and opportunities, good practices and lessons learned from effective research, development and demonstration models; and (c) identify possible follow-up actions. A report on the dialogue was prepared to facilitate the discussion of the TEC with regard to preparing its key messages on research, development and demonstration and identifying follow-up actions as part of its future workplan (see chapter III.D below for the key messages).¹⁶

6. Technology Executive Committee briefs on technology needs assessments and technology road maps

29. An inventory of relevant technology briefs, technical reports and technical papers on topics related to technology development and transfer was developed, with a view to identifying gaps and avoiding the duplication of work already undertaken by other organizations under and outside of the Convention. The inventory of technology briefs was also developed to assist the TEC in identifying good practices for producing technology and policy briefs and in preparing its TEC briefs on TNAs and technology road maps.

30. The TEC produced three TEC briefs, building on the results of its analytical work, the outcomes of the thematic dialogues, the results of the inventories and the analysis of technology needs, on: (a) the results and success factors of TNAs; (b) the possible integration of the TNA process with the NAMA and NAP processes; and (c) using roadmapping to facilitate the planning and implementation of technologies for mitigation

¹⁴ See <http://unfccc.int/ttclear/pages/ttclear/templates/render_cms_page?s=events_workshops_TechRMExpertMeeting>.

¹⁵ See <http://unfccc.int/ttclear/pages/ttclear/templates/ttclear/pages/ttclear/pages/ttclear/templates/ttclear/templates/render_cms_page?s=TEM_THE>.

¹⁶ <http://unfccc.int/ttclear/sunsetcms/storage/contents/stored-file-20130820142623997/SummaryReport-ThematicDialogueRD&D-TEC6_16Aug.pdf>.

and adaptation. The TEC briefs are targeted at policymakers and other stakeholders involved in developing and implementing policies to enhance action on the development and transfer of technologies for mitigation and adaptation. The briefs will be made available at COP 19.

7. Information platform for the Technology Executive Committee within the technology information clearing house

31. Consistent with the relevant activity contained in the 2012–2013 workplan of the TEC, the secretariat presented, at the 5th meeting of the TEC, a new and completely remodelled technology information platform (TT:CLEAR).¹⁷ The new platform aims to disseminate the outcomes of the work undertaken by the TEC and promote information exchange among various stakeholders on technology development and transfer issues. The technology information platform is targeted at Parties and a wide range of technology actors, experts and stakeholders, consistent with the modalities of the TEC.¹⁸ The layout and design of the platform was developed with the objective of servicing the needs of the key stakeholders of the Technology Mechanism. The new technology information platform also incorporates the use of social media to further engage stakeholders in the work undertaken by the TEC. Furthermore, the platform provides direct links to the documents, presentations and webcasts of the meetings of the TEC.

8. Stakeholder engagement

32. One of the functions of the TEC is to seek cooperation with relevant international technology initiatives, stakeholders and organizations, and to promote coherence and cooperation across technology activities, including activities under and outside of the Convention.¹⁹ The TEC interacts with stakeholders through various means to engage them in the work undertaken by the TEC, including by: inviting observers to participate in meetings of the TEC; organizing thematic dialogues; organizing calls for inputs from observers; and using social media.

33. Throughout 2013, observers representing a wide range of technology-related interest institutions and stakeholders from developing and developed countries have participated in meetings of the TEC to enhance its members' understanding of the contemporary issues facing the development and transfer of climate-related technologies. Such participation is appreciated and assists the TEC in implementing its workplan.

34. In addition, the TEC welcomed the organization of two side events in conjunction with its 6th and 7th meetings: one by the International Renewable Energy Agency, on innovation for enabling an accelerated deployment of renewable energy technologies; and one by the Deutsche Gesellschaft für Internationale Zusammenarbeit, on technology cooperation and capacity development. The TEC also welcomed the organization of an event, held the day before its 6th meeting, hosted by the Deutsche Institut für Entwicklungspolitik on the climate technology and development project funded by the Climate and Development Knowledge Network.

9. Modalities on linkages with other relevant institutional arrangements

35. As requested by COP 18, the TEC, in finalizing its modalities on linkages with other relevant institutional arrangements under the Convention, consulted with other bodies under the Convention in order to seek their views on, and coordinate, the proposed

¹⁷ <ttclear.unfccc.int>.

¹⁸ Decision 4/CP.17, annex I.

¹⁹ Decision 1/CP.16, paragraph 121(f).

modalities of the TEC on linkages with those bodies.²⁰ The Chairs and designated representatives of the Adaptation Committee, the Least Developed Countries Expert Group (LEG) and the Standing Committee on Finance (SCF) participated in the 5th meeting of the TEC, with a view to enhancing interaction and identifying areas for collaboration with those bodies.

36. The TEC, at its 6th meeting, identified priority areas and modalities for collaboration with other bodies under the Convention. Taking into account the outcomes of that meeting, the Chair of the TEC sent letters to, and thereafter established a bilateral communication exchange with, the Chairs of other relevant bodies under the Convention to seek their views on, and coordinate, the proposed linkage modalities of the TEC and to further define synergies and areas for collaboration with those bodies, including the Adaptation Committee, the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention (CGE), the Board of the Green Climate Fund, the LEG, the Global Environment Facility (GEF) and the SCF. As at 18 September 2013 the TEC had received responses to its letters from the Adaptation Committee, the CGE and the GEF. Building on those responses and future responses from other relevant bodies, the TEC, at its 8th meeting, will consider possible areas of collaboration with them.

37. In addition, the TEC contributed to the 2013 work programme on long-term finance by submitting its views on long-term finance in accordance with decision 4/CP.18, paragraph 5. Furthermore, a member of the TEC participated in the 2nd meeting of the experts on long-term finance, held in Bonn, Germany, on 19 and 20 August 2013.

38. The TEC consulted with organizations outside of the Convention by inviting them to provide inputs at meetings of the TEC on possible topics or areas of work and collaboration with the TEC.

39. The TEC recommends that COP 19 adopt the modalities on linkages with other institutional arrangements under and outside of the Convention contained in the annex. It also recommends that chapters I and II of the proposed modalities on linkages contained in the annex, upon approval by the COP, replace chapters V and VI, respectively, of the modalities of the TEC adopted by COP 17.²¹

40. With regard to modalities for linkages with the Advisory Board, in addition to the existing modalities of the procedures for preparing the joint annual report to the COP, the joint annual report itself and the membership of the Chair and Vice-Chair of the TEC of the Advisory Board, the TEC agreed to invite the Chair and Vice-Chair of the Advisory Board to attend future meetings of the TEC.

C. Initial discussion of the rolling workplan of the Technology Executive Committee for 2014–2015

41. The TEC initiated discussion of its rolling workplan for 2014–2015 at its 7th meeting and agreed on its short-term activities for immediate follow-up action to ensure the continuity of its work:

(a) To organize a workshop on technologies for adaptation, in collaboration with the Adaptation Committee, with a view to developing (a) TEC brief(s) on the matter, to be held in early 2014 in conjunction with the 8th meeting of the TEC;

(b) To organize one or more workshops on barriers to and enabling environments for technology development and transfer in 2014 in response to decision 1/CP.18,

²⁰ FCCC/SB/2012/2, annex.

²¹ Decision 4/CP.17, annex I, paragraphs 12–14.

paragraph 60, with a view to determining further relevant action (see chapter III.B.3 above);

(c) To follow up on areas of work for possible collaboration with other bodies under the Convention.

42. In addition, the TEC will consider assessing the technology and research, development and demonstration financing needs, including options for stimulating investment in research, development and demonstration and deploying low-carbon technologies, in the preparation of its workplan for 2014–2015.

43. The TEC, at its 7th meeting, agreed to finalize its workplan at its first meeting in 2014 to enable the new members of the TEC to participate in the discussion on the matter, in the light of the changes in the membership of the TEC and the election of a new Chair and Vice-Chair.

44. Taking into account the agreed short-term activities and the discussions that took place at its 7th meeting on the ambition of the TEC with regard to its future workplan, the TEC encourages Parties in a position to do so to make available sufficient resources for the successful and timely implementation of the rolling workplan of the TEC for 2014–2015.

D. Key messages for the Conference of the Parties

45. Building on the work that has been undertaken by it in 2013, the TEC delivers the following key messages to COP 19:

(a) High-level governmental support and coordination of the TNA process is essential to ensuring that a TNA is consistent with national development priorities and ultimately contributes to the creation of enabling environments, such as policies and regulatory frameworks, for the prioritized technologies of the TNA;

(b) TNAs identify that financial and economic barriers are critical and should be referred to by all financial entities under and outside of the Convention;

(c) TNAs, as well as other studies of technology needs, are rich sources of information on the needs of developing countries related to technology and should be referred to by all bodies under and outside of the Convention;

(d) In the TNA process, sound planning practices which encourage the early engagement of the national and international financial and business communities are essential to ensuring project compatibility with funding criteria and availability;

(e) Parties, when identifying and preparing mitigation and adaptation actions such as NAMAs and NAPs, could ensure coherence with the methodology and results of their TNA processes;

(f) The use of a roadmapping approach may help to improve planning processes, including technology action plans, NAMAs and NAPs, and may help Parties to transform the results of their TNAs into actions;

(g) The TEC urges the expedited nomination of NDEs by developing country Parties;

(h) NDEs have the potential to play a key role in establishing strong linkages and maintaining coherence at the national and regional levels between the different planning processes under the Convention, such as TNAs, NAMAs and NAPs;

(i) The strengthening of national capacity and the allocation of resources should be prioritized in order to facilitate effective and sustainable international collaborative

research, development and demonstration. This will ensure and accelerate the effective development and adoption of climate technologies for mitigation and adaptation;

(j) Multi-stakeholder engagement at the regional and national levels is essential to achieving effective international collaborative research, development and demonstration.

46. In performing its work, the TEC acknowledges that enhanced and effective collaboration with other bodies under and outside of the Convention is essential for the TEC to carry out its mandated functions and achieve the overall objectives of the Technology Mechanism in accordance with the Cancun Agreements.

IV. Report on the activities and performance of the Climate Technology Centre and Network in 2013

A. Work of the Advisory Board

47. In accordance with decision 14/CP.18,²² UNEP, as the host of the CTC, put in place the necessary arrangements for conducting meetings of the Advisory Board, including privileges and immunities for members of the Advisory Board consistent with the Convention on the Privileges and Immunities of the United Nations. This enabled the Advisory Board to hold two meetings in 2013.

48. The first meeting was held on 14 and 15 May 2013 in Copenhagen, Denmark, and the second meeting on 9–11 September 2013 in Bonn, Germany, back to back with the 7th meeting of the TEC. At its first meeting, the Advisory Board: (a) elected its Chair, Mr. Griffin Thompson (United States of America), and its Vice-Chair, Mr. Fred Onduri (Uganda); (b) agreed on its rules of procedures; and (c) discussed the programme of work of the CTCN for 2013. At its second meeting, the Advisory Board: (a) approved the draft programme of work of the CTCN; (b) approved prioritization criteria for responding to requests from developing country Parties; (c) approved criteria regarding the structure of the Network and the designation of organizations as members of the Network; and (d) approved the modalities and procedures of the CTCN. All relevant documents are available on the CTCN website.²³

49. The programme of work of the CTCN is a five-year rolling programme (2013–2017), which describes how the CTCN will deliver on its activities and targets and highlights the budget required to meet such targets. The delivery of such activities and targets will depend on the availability of funds to the CTCN and the nature of the demand expressed by developing countries through their NDEs. The programme of work will be reviewed annually by the Advisory Board to allow for refinement and revision, as needed.

50. Guiding principles and criteria for prioritizing requests from developing countries and for establishing the Climate Technology Network (CTN) have been approved by the Advisory Board and provide necessary guidance to the CTC. The Advisory Board recognizes that such documents will be revisited and reviewed once the CTN is fully operational, with any necessary revisions made on the basis of working experience.

²² Decision 14/CP.18, paragraph 8.

²³ <<http://www.unep.org/climatechange/ctcn/>>.

B. Organizational structure of the Climate Technology Centre and Network

1. Location

51. UNEP, as the host of the CTC and in accordance with decision 14/CP.18,²⁴ was requested to design the organizational structure of, manage and provide the necessary administrative and infrastructural support for the effective functioning of the CTC, in accordance with relevant United Nations and UNEP regulations, rules and procedures and decisions of the UNEP Governing Council, as well as subject to the financing provided.

52. In response to decision 2/CP.17, annex VII, and in order to ensure a lean, cost-efficient organizational structure within an existing institution, the Executive Director of UNEP decided to locate the CTC in the United Nations City building in Copenhagen, Denmark, which also houses the global offices of the United Nations Office for Project Services.

53. The CTCN is designed to be non-bureaucratic and agile in its service provision, with the ability to accommodate quick, flexible growth as demand increases, with the option of creating regional hubs at the regional offices of UNEP to offer even greater proximity to clients. By being small and through having single points of responsibility and contacts within the organization, clients can interact with the CTC in a direct and transparent manner.

2. Staff

54. UNEP is the host of the CTC in collaboration with the United Nations Industrial Development Organization and with the support of 11 other consortium partner organizations from both developing and developed countries with proven expertise in and experience of technology transfer for adaptation and mitigation. The host agreement, in the form of an MOU between UNEP and the COP, was signed on 22 February 2013 by UNEP and the UNFCCC secretariat at the conclusion of the UNEP Governing Council session.

55. In accordance with decision 14/CP.18,²⁵ UNEP was requested to select and appoint, pursuant to the United Nations Staff Regulations and Rules, the director of the CTC and a small core staff to support the CTC in an effective and efficient manner, to be managed by the director. All staff positions, consisting of one director, five professional staff and two administrative staff, have been advertised. Interviews are being arranged, with the aim of filling all positions by early 2014. The positions are in line with the original staff plan that was included in the proposal submitted by UNEP.

3. Funding

56. By decision 2/CP.17, it was decided that the costs associated with the CTC and the mobilization of the services of the Network should be funded from various sources, including the financial mechanism of the Convention, bilateral, multilateral and private-sector channels, philanthropic sources, as well as financial and in-kind contributions from the host organization and participants in the Network.²⁶ In addition, the GEF was requested to support the operationalization and activities of the CTCN without prejudging any

²⁴ Decision 14/CP.18, annex I, paragraph 7.

²⁵ Decision 14/CP.18, paragraph 9.

²⁶ Decision 2/CP.17, paragraph 139.

selection of the host²⁷ and Parties in a position to do so were invited to support the CTCN through the provision of financial and other resources.²⁸

57. UNEP has been engaging with a number of donors to mobilize funding for the CTCN. As at September 2013 a total of USD 16.4 million had been secured from bilateral sources, including from the Governments of Canada, Denmark, Japan, Switzerland and United States and from the European Commission. The CTCN is also financed by cash and in-kind contributions from the UNEP-led consortium in the amount of USD 5.8 million. UNEP continues to engage with other potential donors, including the Governments of Germany, Netherlands, Norway and Republic of Korea, to secure additional financial contributions for the CTCN. Furthermore, UNEP is making the necessary arrangements to create a CTCN trust fund.

58. UNEP has held a number of constructive meetings with the GEF to bring its provision of support to the CTCN for technology transfer projects in conformity with recent decisions of the COP (e.g. decision 2/CP.17, para. 140). UNEP will continue to engage with the GEF to secure its provision of support to the CTCN, including through the sixth replenishment of the GEF Trust Fund.

59. UNEP is grateful for the financial support being offered by the many countries listed above, which will ensure the quick start of the operations and activities of the CTCN. For the long-term operation and success of the CTCN, a sustained and predictable level of funding will be essential.

C. Other organizational issues

1. Communication and outreach

60. UNEP held regional expert dialogues to engage experts in Asia (in Bangkok, Thailand, on 21 and 22 May 2013), Latin America (in Cartagena de Indias, Colombia, on 18 and 19 July 2013) and Africa (in Midrand, South Africa, on 29 and 30 July 2013 and in Dakar, Senegal, on 3 and 4 September 2013). The participants represented a wide range of stakeholder groups, including governments, the private sector, non-governmental organizations and academia, with a deep knowledge of the regions' challenges, needs and priorities. The aim of the dialogues was to obtain experts' views on technology barriers, needs and priorities in the regions to enable the CTCN to support countries with their technology requests. The outcomes of the dialogues enabled UNEP to better understand the countries' needs and priorities as well as their expectations regarding the services of the CTCN. The information collected was used to support the Advisory Board in its discussions on and approval of the prioritization criteria for countries' requests and the criteria for establishing the CTCN. Two more regional expert dialogues are to be held, in North America (in Washington, D.C., United States, on 18 and 19 September 2013) and in Europe (in late October in Brussels, Belgium).

61. Communications will form an integral part of the organizational make-up of the CTCN and a communications programme will be implemented to ensure that all staff, consortium members and the Network are consistent in their communications about the CTCN. A communications programme will also help to provide further clarity to stakeholders on how the CTCN operates, what it is able to offer, what it is achieving and how best to access its services. A number of communication tools have been developed to promote the visibility of the CTCN in the climate change and development arena, including: CTCN brochures in English, French and Spanish; a CTCN introduction video

²⁷ Decision 2/CP.17, paragraph 140.

²⁸ Decision 2/CP.17, paragraph 141.

based on the 1st meeting of the Advisory Board; a list of relevant frequently asked questions; and a CTCN-related events calendar. In addition, a CTCN side event was held during the thirty-eighth sessions of the subsidiary bodies.

2. Knowledge management system

62. To deliver its services with impact, the CTC will need to be an agile, capable and responsive organization equipped with a world-class knowledge management system. Such a system will facilitate many of the key services of the CTCN, such as internal tracking of technical assistance provided to developing countries, training, and capturing and sharing of experiences. It will be carefully designed to ensure that it will be adaptable and scalable to meet the needs of the CTCN now and in the future. It will focus initially on only a few sectors (e.g. energy, water, industry, agriculture and forestry) as defined by developing countries' priorities, with coverage of additional climate technology sectors provided in subsequent phases depending on demand.

3. National designated entities

63. The CTC will manage the process of receiving and responding to requests from developing country Parties and will work with the Network to respond to such requests. It will receive such requests from developing country Parties through the national entity designated for that purpose in accordance with decision 4/CP.13. Parties were invited to nominate their NDEs for the development and transfer of technologies pursuant to decision 2/CP.17, annex VII, and decision 4/CP.13, paragraph 8, and to communicate that information to the secretariat by 29 March 2013, in order to facilitate the operationalization of the CTCN.

64. In order to help Parties to understand the roles and responsibilities of NDEs, UNEP has produced an informal guidance note, which is available on the CTCN website.²⁹ A capacity-building and support programme for NDEs is being developed by UNEP, which will assist NDEs in obtaining the specific guidance or assistance that they need to effectively discharge their functions. This will help shape the requests of the NDEs to maximize their utility and to ensure that requests put to the CTCN conform to the criteria approved by the Advisory Board.

65. To date, only 33 Parties have nominated their NDEs. UNEP and the Advisory Board urge Parties that have not yet nominated their NDEs to do so as soon as possible.

4. Full operation of the Climate Technology Centre and Network

66. A number of administrative activities for establishing the CTC were completed in the early part of 2013. Additional activities related to staffing, guidelines and procedures will be completed by the end of 2013. This will include an information paper for NDEs explaining the process by which UNEP will handle requests from developing countries.

67. The CTCN road map for 2013–2015, contained in the CTCN programme of work,³⁰ describes the organizational activities of the CTCN over three phases during the next two and a half years: start up, establishment, and full-scale implementation, intensification and expansion. During those phases, the administrative and infrastructural aspects of the organization must be developed and implemented to achieve the effective functioning of the CTCN. In addition, the structuring of the Network and knowledge management system must be accomplished. The CTCN can be expected to become fully operational in 2014.

²⁹ <<http://www.unep.org/climatechange/ctcn/>>.

³⁰ Available at <<http://www.unep.org/climatechange/ctcn/>>.

Annex

Modalities of the Technology Executive Committee on linkages with other relevant institutional arrangements under and outside of the Convention

I. Linkages with other relevant institutional arrangements under the Convention

1. For performing the functions contained in decision 1/CP.16, paragraph 121, through close interaction with relevant thematic bodies established under the Convention with closely overlapping functions and/or possible activities, including, but not limited to, the Advisory Board of the Climate Technology Centre and Network, the Adaptation Committee, the Board of the Green Climate Fund, the registry of nationally appropriate mitigation actions, the Least Developed Countries Expert Group, the Consultative Group of Experts on National Communications from Parties not included in Annex I to the Convention, the Standing Committee on Finance and the Adaptation Fund Board, the modalities may include, inter alia, the following:

- (a) Cross-participation in the meetings of the relevant bodies, including workshops and events organized by such bodies, or jointly organized, on issues of common interest;
- (b) Inviting inputs to support the implementation of particular activities specified in the workplan of the Technology Executive Committee (TEC);
- (c) Providing inputs to other institutional arrangements under the Convention, in response to requests made by the Conference of the Parties and/or invitations made by respective institutions, to facilitate the work of those institutions;
- (d) Knowledge and information sharing.

II. Linkages with other relevant institutional arrangements outside of the Convention

2. For performing the functions contained in decision 1/CP.16, paragraph 121, through linkages with institutional arrangements outside of the Convention, including, inter alia, public institutions, the business community, academia, international organizations, non-governmental organizations, networks and partnerships, the modalities may include, inter alia, the following:

- (a) Offering participation in meetings of the TEC as observers or expert advisers;
- (b) Technical taskforces, stakeholder forums and/or consultative groups;
- (c) Bilateral cooperative arrangements;
- (d) Web-based communication channels, including through the technology information clearing house (TT:CLEAR);
- (e) The Chair and/or the Vice-Chair, or any member designated by the TEC, representing the TEC at external meetings and reporting back to the TEC on those meetings.

3. The modalities mentioned in paragraph 2 above may be utilized on an ad hoc and issue-oriented basis, as they relate to the rolling workplan of the TEC.